

U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)		Docket No. SRI/4190-4	Serial No. 09/944,788
<b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Applicant Alfonso Valdes, et al.	Confirmation No.: 1821
(Use several sheets if necessary)		Filing Date 08/31/2001	Group 3621
Examiner Sherr, Cristina O.			



**U.S. Patent Documents**

*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A1						
	A2						
	A3						
	A4						
	A5						
	A6						
	A7						
	A8						
	A9						
	A10						

**Foreign Patent Documents**

*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
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	B2						<input type="checkbox"/>	<input type="checkbox"/>
	B3						<input type="checkbox"/>	<input type="checkbox"/>
	B4						<input type="checkbox"/>	<input type="checkbox"/>

**OTHER ART**

*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
	C1	Copy of First Amended Complaint for Patent Infringement; Demand for Jury; SRI International, Inc. v. Internet Security Systems, Inc. AND Symantec Corporation, Case No. 04-1199-SLR, pages 1-8, believed to have been filed on 5/23/05.
	C2	Copy of Symantec Corporation's Answer and Counterclaims to SRI International Inc.'s First Amended Complaint; SRI International, Inc. v. Internet Security Systems, Inc. and Symantec Corporation, Case No. 04-1199 (SLR), pages 1-15, Certificate of Service dated 5/23/05.

Examiner 	Date Considered 9/27/05
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)		Docket No. SRI/4190-4	Serial No. 09/944,788
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U.S. Patent Documents							
*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
	A11						
	A12						
	A13						
	A14						
	A15						
	A16						
	A17						
	A18						
	A19						
	A20						

Foreign Patent Documents								
*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B5						<input type="checkbox"/>	<input type="checkbox"/>
	B6						<input type="checkbox"/>	<input type="checkbox"/>
	B7						<input type="checkbox"/>	<input type="checkbox"/>
	B8						<input type="checkbox"/>	<input type="checkbox"/>

OTHER ART		
*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.
	C3	Copy of Answer and Counterclaims of Internet Security Systems, Inc., A Georgia Corporation; SRI International, Inc. v. Internet Security Systems, Inc. and Symantec Corporation, C.A. No. 04-1199 (SLR), pages 1-22, Certificate of Service dated 5/23/05.
	C4	Copy of Answer and Counterclaims of Internet Security Systems, Inc., A Delaware Corporation; SRI International, Inc. v. Internet Security Systems, Inc. and Symantec Corporation, C.A. No. 04-1199 (SLR), pages 1-22, Certificate of Service dated 5/23/05.
	C5	
	C6	

Examiner	Date Considered 9/26/05
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PTO/SB/08a (08-03)

Approved for use through 07/31/2008. OMB 0651-0031  
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Application Number 09/944,788  
Filing Date 08/31/2001  
First Named Inventor De Jesus Valdes, et al.  
Group Art Unit 3621  
Examiner Name Sherr, Cristina O.  
Attorney Docket Number SRI/4190-4  
Submission Date

Sheet 1 of 3

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
CDS	A1	US-5,440,498	08-08-95	Timm	
	A2	US-5,475,365	12-12-95	Hoselt et al.	
	A3	US-5,517,429	05-14-96	Hamson	
	A4	US-5,568,471	10-22-96	Hershey et al.	
	A5	US-5,704,017	12-30-97	Heckerman et al.	
	A6	US-5,737,319	04-07-98	Croslin et al.	
	A7	US-6,092,194	07-18-00	Touboul	
	A8	US-6,263,441	07-17-01	Cromer et al.	
	A9	US-6,279,113	08-21-01	Valdya, V.	
	A10	US-6,311,274	10-30-01	Day	
	A11	US-6,321,338	11-20-01	Porras et al.	
	A12	US-6,353,385	03-05-02	Molini et al.	
	A13	US-6,370,848	04-09-02	Diap, T	
	A14	US-6,408,391	06-18-02	Huff, et al.	
	A15	US-6,499,107	12-24-02	Glechauf et al.	
	A16	US-6,502,082	12-31-02	Toyama et al.	
	A17	US-6,701,459	03-02-04	Ramanathan et al.	
	A18	US-6,704,874	03-09-04	Porras et al.	
	A19	US-6,707,795	03-16-04	Noorhosseini et al.	

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GROUP 3600

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>3</sup>
		Country Code <sup>4</sup> -Number <sup>5</sup> -Kind Code <sup>6</sup> (if known)				
	B1					
	B2					
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Examiner

Date Considered

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 2

3

Application Number 09/944,788

Filing Date 08/31/2001

First Named Inventor De Jesus Valdes, et al.

Group Art Unit 3521

Examiner Name Sherr, Cristina O.

Attorney Docket Number SRI/4190-4

Submission Date

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
CS	C1	Anderson, D. et al., "Next-generation Intrusion Detection Expert System (NIDES) A Summary," May 1995	
✓	C2	Anderson, et al., "Next-generation Intrusion Detection Expert System (NIDES) Software Users Manual", December 1994	
✓	C3	Cheeseman, et al., "Bayesian Classification (AutoClass): Theory and Results," In Advances in Knowledge Discovery and Data Mining, Usama M. Fayyad, Gregory Piatetsky-Shapiro, Padhraic Smyth, & Ramasamy Uthurusamy, Eds. AAAI Press/MIT Press, 1996. pg 61-83	
✓	C4	Decasper, et al., "Router Plugins A Software Architecture for Next Generation Routers," Proceedings of the ACM SIGCOMM '98 conference on Applications, technologies, architectures, and protocols for computer communication, Vancouver, British Columbia, Canada, Pages: 229 - 240	
✓	C5	DuMouchel, W., "Computer Intrusion Detection Based on Bayes Factors for Comparing Command Transition Probabilities," NISS, Technical Report Number 91, February 1999	
✓	C6	Frank, J., "Artificial Intelligence and Intrusion Detection: Current and Future Directions," Division of Computer Science, University of California at Davis, June 1994	
✓	C7	Hoagland, et al., "Viewing IDS Alerts: Lessons from SnortSnarf," In Proceedings of DISCEX II, June 2001, 374-386	
✓	C8	Lindquist, et al., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)," In Proceedings of the 1999 Symposium on Security and Privacy, Oakland, CA May 9-12, 1999	
✓	C9	Makris, J., "Firewall Services: More Bark Than Bite," Data Communications, 28 (3), March 1999, 36-50	
✓	C10	Neumann, et al., "Experience with EMERALD to Data," Proceedings of the Workshop on Intrusion Detection and Network Monitoring, 73 - 80, 1999	
✓	C11	Petersen, K., "IDA- Intrusion Detection Alert," Proc. of the IEEE Annual International Computer Software and Applications Conference, Chicago, IL, Sept. 1992, 308 - 311	
✓	C12	Rowland, C., "Network Attack Trend Analysis," allegedly dated November 22, 1997, Newsgroups: muc.list.bugtraq	
✓	C13	Ryan, et al., "Intrusion Detection with Neural Networks," Advances in Neural Information Processing Systems 10, Cambridge, MA, MIT Press, 1998	

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9/26/05

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Sheet 3

of 3

Application Number 09/944,788

Filing Date 08/31/2001

First Named Inventor De Jesus Valdes, et al.

Group Art Unit 3621

Examiner Name Sharr, Cristina O.

Attorney Docket Number SRI/4190-4

Submission Date

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T?
✓	C14	Complaint for Declaratory Judgment, Internet Security Systems, Inc., v. SRI International, Inc., US District Court, Northern District of Georgia, Civil Action No. 104 CV 2402, filed August 17, 2004	
✓	C15	Complaint for Patent Infringement; Demand for Jury, SRI International, Inc. v. Internet Security Systems, Inc., et al., US District Court, District of Delaware, Case No. 04-1189, Filed August 26, 2004	
✓	C16	The RealSecure 1.2 Manual web.archive.org/web/19970709202745/www.iss.net/eval/manuals.html, alleged dated 9 July 1997	
✓	C17	"Real-time attack recognition and response: A solution for tightening network security", Internet Security Systems, web.archive.org/web/19970721183811/iss.net/prod/whitepaper.html, allegedly dated July 21, 1997	
✓	C18	Roesch, M., "SNORT- Lightweight Intrusion Detection for Networks," Proceedings of LISA '99: 13th Systems Administration Conference, November 7-12, 1999, Seattle, WA 229-238	
✓	C19	Symantec Corporation's Answer and Counterclaims to SRI International, Inc.'s Complaint, SRI International, Inc. v. Internet Security Systems, Inc. et al., US District Court, District of Delaware, Case No. 04-1189, Filed October 15, 2004	
	C20		
	C21		
	C22		
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